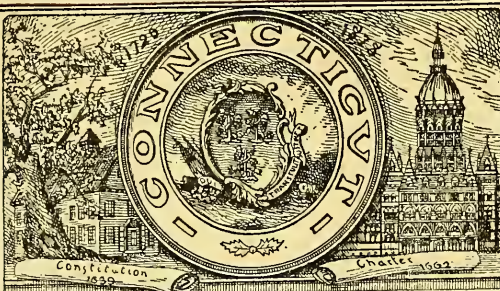



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December, 1949

FINAL REPORT

on

MANAGEMENT, COMMUNICATIONS AND RECORDS

of

Survey Unit #15.b

to the

COMMISSION ON STATE GOVERNMENT ORGANIZATION

AUG 30 1951

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## PART I

### CENTRAL AND DEPARTMENTAL MANAGEMENT - FIELD ORGANIZATION - ADMINISTRATIVE COMMUNICATIONS - REORGANIZATION

#### Introduction

This paper is the result of a project which is of a "horizontal" character, dealing with problems common in some degree to all the departments and agencies of the executive branch of the government. In its inception, the survey was to embrace this whole range of general services and supply. Limits of time and staff led to a revision of plans reducing the scope of the actual survey to a much narrower list of topics, not closely related to each other, and the same limits confined the project staff's attention to about a dozen of the major agencies. For a fuller perspective, this report should be read in connection with the reports of Survey Units 2 (Fiscal), 6 (Public Works), 9 (Regulative Agencies) and 15.a (Purchasing and Procurement).

Despite their apparent miscellany, the subjects assigned in Project 15.b are nevertheless closely linked to a single unifying theme, the need for central management of the state's business affairs. This theme is in fact much more pervasive than services and supply, both horizontally and vertically. In order to make our specific topics significant and intelligible, therefore, and because our general theme has not been made the subject of a separate project, Part I of this report begins with the general question of establishing central managerial machinery, and the corollary problems of effective departmental management in that context; then moves to the allied questions of field office organization and administrative communications; and concludes with a note on reorganization. Part II deals with the specific subjects surveyed.

The implications of central management, as has been said, reach beyond this report. How far beyond, we venture to suggest, at the risk of straying gratuitously outside our assignment, the Commission may appreciate by reflecting for a moment on the problems the Commission, the Governor and the General Assembly, and department heads will face when the time comes to implement the Commission's own report. Apart from bill-drafting and the other processes of legislation, there will come the task of installing and supervising any changes that are ultimately decided upon, and of translating general principles and directions into specific organizational structures and operating procedures that will affect many agencies. The Hoover Commission had available for this purpose the Bureau of the Budget in the Executive Office of the President, which will be following through on the Hoover reports for the next two or three years. Where, in the absence of a central managerial focus in the

State Government of Connecticut, will there be found the necessary staff, the competence, the energy and continuity, and the authority, to do a similar service here?

### Central Management

#### The Problem:

To secure a central focus of managerial responsibility for the conduct of the State's business affairs, where none has existed before, in order to obtain a far more effective utilization of the human and material resources of State government. The financial resources are definitely limited by available moneys and current price levels. The human resources are limited by the calibre of people it is possible to attract and hold in the State's service. Under the existing set-up of government this in turn is limited by the extent of the contributions they can hope to make. Why cut down on phone costs, for example, when nobody pays any attention to phone costs? And who can pay attention to phone costs effectively except someone in a central office charged with responsibility to do so, and authorized to see that that cost is monitored in each of the state agencies?

Central management of business services can make the citizen's dollar go further by securing better service at lower unit cost. It can thereby liberate the energies of operating agencies for the better accomplishment of their own program objectives. Better prospects for making a significant contribution will help attract better people to the State's service, and so the State's capacity can be expanded.

The State has a larger stake in the improvement of its capacity for efficient service than is commonly realized. For what its citizens demand, and it cannot satisfactorily supply, will go sooner or later to Washington.

Central business management means unified agencies, responsible directly to the Governor, to deal with (1) budget and finance, (2) personnel and (3) common overhead services such as procurement and supply (including property storage and utilization), space, building and equipment maintenance and repair (sometimes including minor construction), land acquisition and leasing for office purposes, records management, transportation and communications facilities, printing and duplicating facilities, and the like. Except in small organizations, it does not mean centralized operations in all these categories, but rather centralized responsibility for effectively establishing and reviewing standards and procedures of operation. Centralized operations are in order only where volume economies justify them against the delays and inconveniences they may involve, or where accepting standards of operating performance cannot otherwise be secured.



Findings:

- (1) Most of the important administrative problems of Connecticut government are directly traceable to the lack of organized central management leadership.
- (2) Existing central agencies for finance, personnel, and supply functions, and the like, have divided jurisdictions and lag on the whole considerably behind the operating departments in meeting modern standards of management.
- (3) Existing central agencies for finance, personnel and supply, work at cross purposes within and across their jurisdictional boundaries, and are felt to hamper rather than help the operating departments. Neither do they furnish the General Assembly or the Governor with adequate assurance that the State's business affairs are properly run. Evidence of the foregoing can be found in loose procedures, lack of professional standards, poor morale, absenteeism.
- (4) The forces favoring departmental autonomy, even administrative anarchy, and weakening central ~~constitutional~~ management, are very strong. They include the constitutional and statutory status of the Governor; legislative-executive relationships; the election rather than appointment of the Comptroller, the Attorney General and the Treasurer; the tradition of party patronage; the long-standing distrust of strong central controls; the permanent one-party domination of one house of the Legislature irrespective of the political complexion of the other branches of the State government; and the desire of local interests to control State operations in their localities regardless of the impact of their influence elsewhere. In these circumstances, department and institution heads prefer to make their own terms, as best they can, with the dominant elements in the General Assembly, and with controlling private and local interests. Their present degree of operating autonomy is incompatible with effective central management.

Proposals:

- (1) If constitutional changes are not ruled out:
  - (a) A short ballot, and abolition of the constitutional status of the Comptroller, Attorney General and Treasurer.
  - (b) In place of the present offices of the Comptroller, and Commissioner of Finance and Control, statutory establishment of four offices, the first a staff agency attached to the Governor and the other three operating agencies coordinate with existing line departments, as follows:

- (i) A Budget and Program Office, with government-wide jurisdiction, responsible to the Governor for the preparation of the budget, for the continuing analysis and review of departmental programs, for home and field office organization and management policy, for evaluation and improvement of administrative procedures -- all in the form of recommendations to the Governor and to department heads.
  - (ii) A Finance office responsible for maintaining central accounts and for supervising departmental accounting methods and policing appropriation limitations, for disbursements and perhaps other fiscal functions.
  - (iii) A Personnel Office, responsible for all central personnel operations (examining, certification, classifications, retirement, grievance appeals, etc.) and for the establishment of standards for departmental personnel functions.
  - (iv) A Business Operations Office, responsible for purchase and supply, construction and repair, building and equipment maintenance, space control, leasing and contracts, property utilization and inventories, records management, etc.
- (2) If constitutional changes are barred:
- (a) Eliminate proposal (1) (a) above.
  - (b) By statute, strip the Comptroller of all non-fiscal functions, leaving him responsibility for accounting systems, central accounting operations, and disbursements, as in (1) (b) (ii) above.
  - (c) Proceed with other proposals (1) (b) as above.
- (3) If statutory changes are barred:
- (a) Secure an appropriation for the Governor's office sufficient to enable him to set up the Budget and Program office indicated in (1) (b)(i) above, and hope for further action at a later date.

For illustrations of these three alternatives, see Charts A, B and C, attached.



CHART A

Central Management

Electorate

Governor

Legal  
Advisor

Budget and  
Program Review

Central Management Offices

Public  
Relations and  
Information

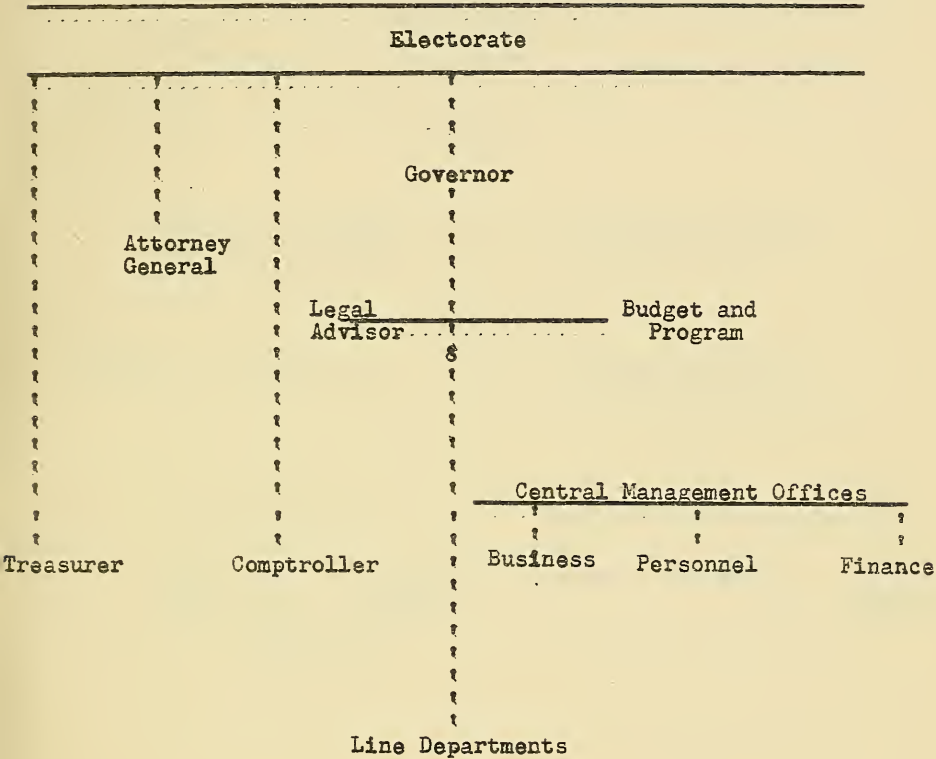
Fiscal      Business      Personnel

Line Departments

This chart supposes the elimination of the constitutional positions of the Attorney-General, Comptroller and Treasurer, and of the statutory position of the Commissioner of Finance and Control.

CHART B

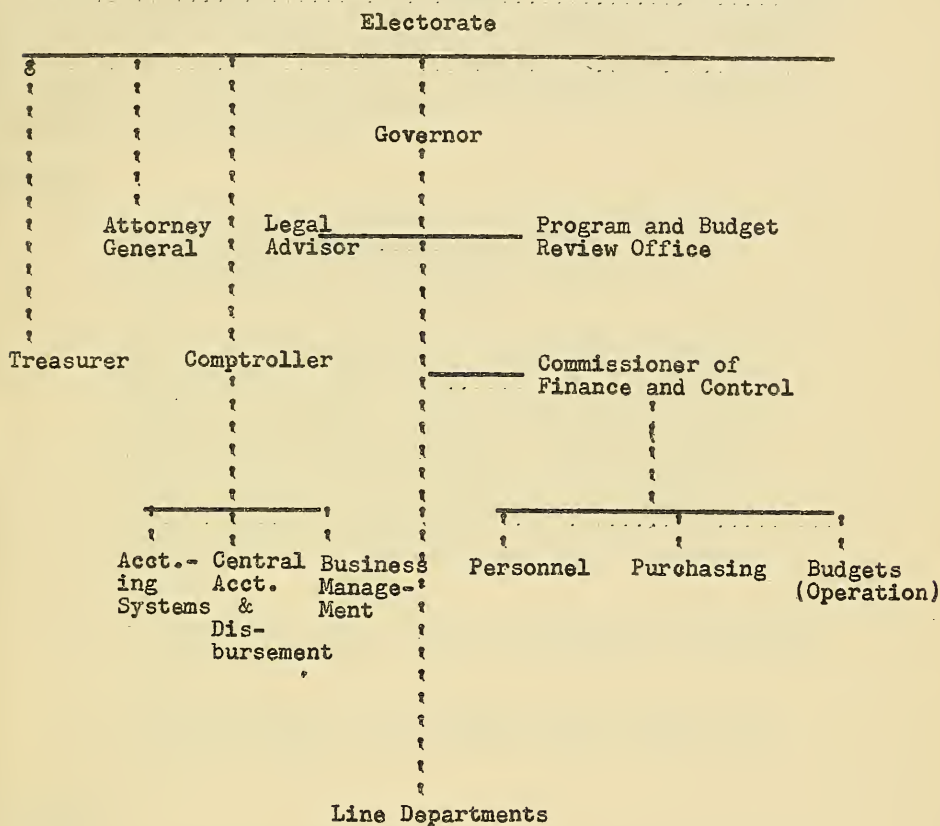
Central Management



This chart takes the constitutionally elective offices of the Attorney General, Comptroller and Treasurer as fixed, but assumes statutory changes. It supposes either the elimination of the Commissioner of Finance and Control, or, if he has the Governor's confidence, the merger of most of his functions into the Office of Finance shown above. The distribution of functions between the constitutional offices and the others shown will vary with the political complexion of the incumbents, regardless of considerations of good administration.

CHART C

Central Management



This chart supposes only an appropriation to the Governor large enough to maintain a legal advisor and a program and budget review staff, without change in existing constitutional and statutory offices and functions.

### Departmental Management

#### The Problem:

To secure effective utilization of the total human and material resources of each department and agency (including institutions headed by commissions) in carrying out its programs; to give each program, bureau or division a sense of belonging to a unified department, and of participating in the department's objectives of service to the people; to give each department a sense of belonging to a common government of the State, and of sharing government-wide perspectives.

#### Findings:

- (1) Where central management is consistently weak, departmental management shows a wider range of variations; some departments exhibit fairly strong management, others almost none.
- (2) Strong departmental management, where it exists, has arisen in the context of a vacuum at the center of the government, and is a product of an unusually competent department head during some period in the not-too-remote past, and of good popular support for the department's program. Departments whose facilities are visible to all, like the State Police, Highways, and Parks, have an advantage in this respect in comparison with institutions having a more specialized clientele such as the Public Utilities Commission, to take an extreme example.
- (3) Few departments have adequate management facilities, or an understanding of what the important managerial issues are.
- (4) Few departments act as though they are parts of a large government; they cherish their autonomy and want more of it.

#### Proposals:

- (1) That the Commission recommend to each department and agency a review of its managerial establishment, with expert assistance and in the light of such changes in central management as may result from the Commission's report.
- (2) That, in reviewing its managerial structure each department give consideration to the establishment or strengthening of a "management team", consisting of distinct offices for budget and finance, personnel,



business operations, public relations and information, and field office operations -- all reporting to an operating deputy department head who is also concerned with the development and evaluation of bureau or division programs.

- (3) That when and if the Governor secures a management staff charged with budget preparation, program evaluation and management policy, this staff be assigned the task of systematic and continuing review of departmental management, so that consistent pressure will be exerted toward the solution of the problems stated above.

See Charts D, E and F for possible organizational arrangement of these management activities. These should be used in relation to the nature and size of the program and management job.

#### CHART D

##### Department Management

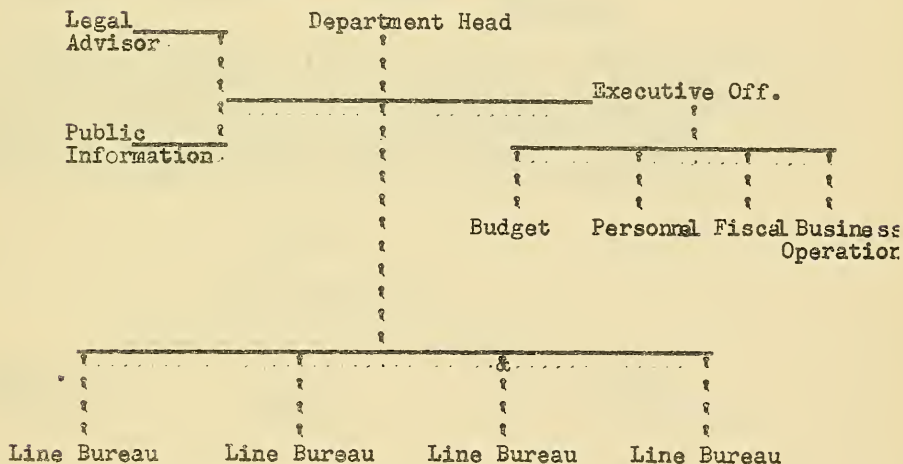
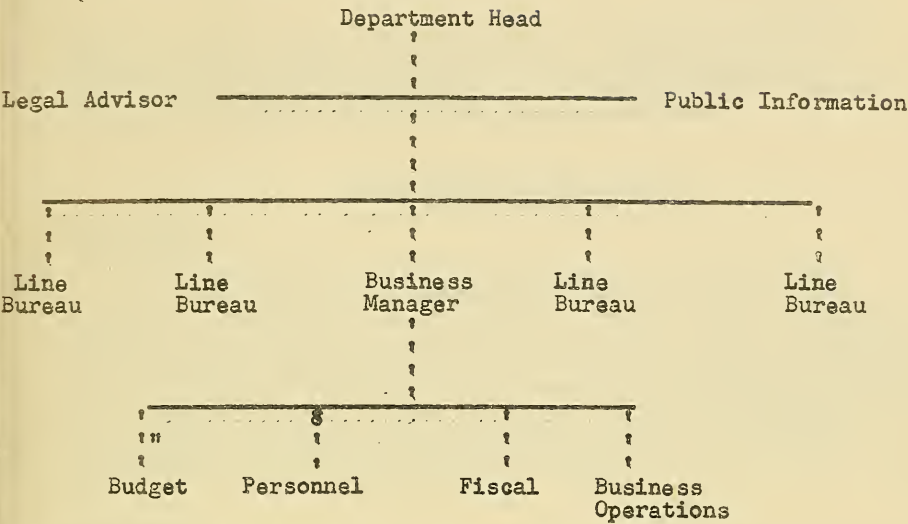
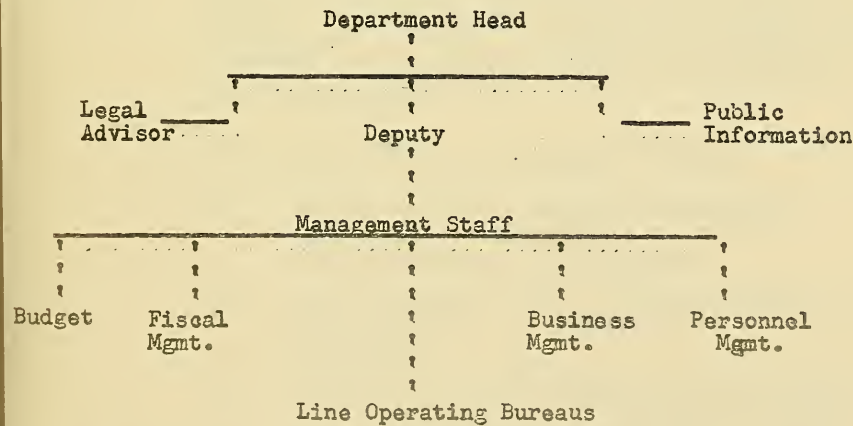


CHART E



Charts D and E are basically similar; E assumes a comparatively heavier volume of business or fiscal operations. The weakness in both is that the Executive Officer or Business Manager has too many controls in his hands and too little incentive to feel responsible for the objectives of the line bureaus; is apt to control them with red tape rather than facilitate their work.

CHART F



A better arrangement for a department large enough to support fulltime work in the staff and auxiliary functions shown, and a department head who either must keep most of his time free for

external affairs of the department, or is a purely political appointee and should do so for the best interests of all concerned. In a small department with a professional head who stays on the job, the Deputy may be eliminated and/or some of the central management offices shown may be combined.

### Field Office Organization

#### The Problem:

To secure the effective utilization of the total human and material resources of the several departments of the State government, including those resources located outside Hartford, to the end that all of the people in the State are as adequately served by their government as total resources permit, including the people who do not have direct access to the Hartford offices. Put another way, the problem is to see that the field offices act as integrated parts of the organization, share its program objectives, and carry their share of the load, even though they do not see the department head very often.

#### Findings:

- (1) Not more than 5,000 of the more than 16,000 employees of the State government are located in Hartford -- roughly 70% are outside the capital city, according to the estimate of the Director of Personnel.
- (2) Although no accurate breakdown is available, a considerably higher percentage of State expenditures must be made outside Hartford, mainly on the say-so of field offices. Expenditures in Hartford are chiefly for pay-roll and office upkeep which, however, may be higher per capita in Hartford than elsewhere, while welfare grants and construction and materials procurement payments go chiefly outside the capital.
- (3) Most of the work of State government cannot be done in Hartford, for any of several reasons:
  - (a) Physical -- e.g., building the Merritt Parkway, or investigating the need of a welfare applicant in Torrington.
  - (b) Administrative-- e.g., providing on-the-spot supervision of geographically scattered activities.
  - (c) Political -- e.g., serving the convenience of a public clientele by furnishing facilities, like drivers' test centers, close to their homes; or accommodating the demand of local interests, reflected through their legislative representatives, that a fair share of the State's money be spent in or on their communities.

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- (4) Only two or three of the major State agencies appear to have given much deliberate thought to the structure of their field office organizations.
- (5) There is no single "model" pattern of field office organization; on the contrary, several different types and countless variations are known, and a proper selection in a particular case depends on numerous factors -- program, area, function, volume of work, and others. Some common types are shown in Charts G, H, K and L.
- (6) Typically, the major State departments in Connecticut appear to have developed their field offices merely as dangling appendages from their several line operating bureaus or divisions in Hartford. See Chart G. This arrangement tends to produce inflexible and highly compartmentalized field offices; idle resources in one unit cannot be used in the next, and vision is narrowed. In any particular unit, none of the employees know, and few care, what goes on in the next unit, even though both belong to the same department. This may be good for the Atomic Energy Commission, but is almost surely bad for most State government departments.
- (7) Effective field office operations depend in large degree on effective departmental management in the headquarters office.

Proposals:

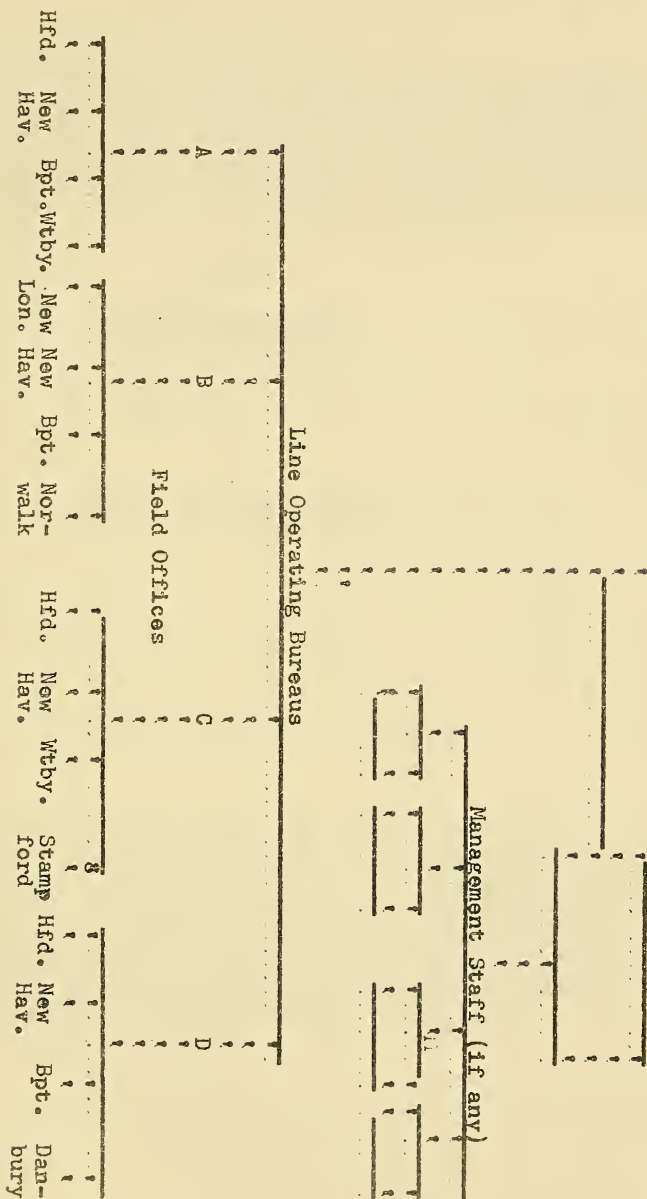
- (1) Departmental managerial staffs should be urged to take a long look at their field office structures, and with expert assistance and in the light of their own experience of operating problems, to devise more effective organizations,
- (2) When and if the Governor secures a management staff, it should put continuing pressure on the departments to take stock of their field organizations.



## CHART G

## Field Organization

## Department Head



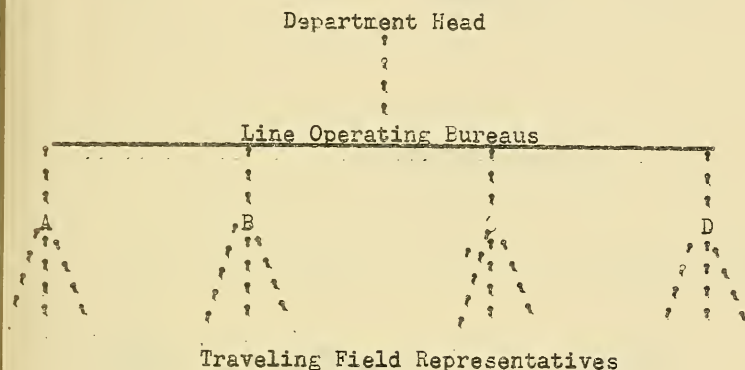
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Chart G (Field Organization) cont.

In this pattern, each field office administers a single program within a limited geographical area (e.g., unemployment compensation in Bridgeport). The line of responsibility and supervision is clear; but the pattern is likely to put several offices of the same department in the same area, none of them paying attention to the others. Results: wastes in overhead expenses and lack of program coordination.

CHART H

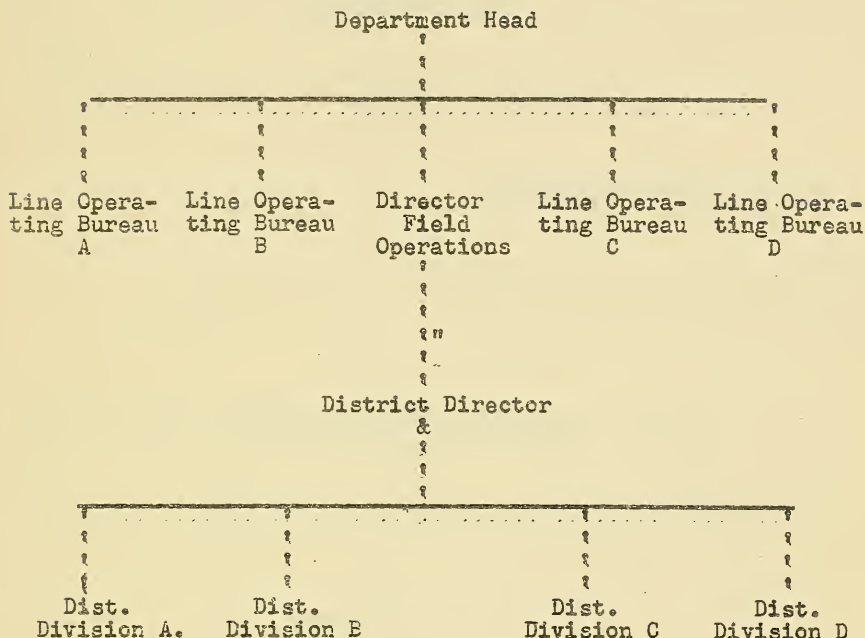
Field Organization



This pattern is similar to Chart G, except that there are no fixed field office locations. Each operating bureau handles its own field work through traveling representatives, each assigned to a given territory. It is applicable where field workload is light and consists, e.g., of inspections, with little paper work required, and where the public has little occasion to seek out the agency. If the workload increases, this pattern is likely to bring several traveling representatives to the same towns on the same days, none of them knowing of the others' existence or programs.

CHART K

Field Organization



In this pattern, there is a single district office, and a single resident director, for each geographical area of the department's field operations. The district office mirrors the headquarters office organization in miniature. Coordination of field office programs and operations is attempted through a headquarters director of field operations, through whom headquarters bureaus communicate with their field office counterparts. Commonly used where district directors have large measures of discretion, or where field office operations consist of stable, related routines. Makes trouble where programs are dynamic and where uniform, centrally determined policies are needed, because the headquarters director of field operations is a likely bottleneck on effective communications between headquarters bureaus and their field office representatives.

CHART L

Field Organization

Department Head

Deputy

Management Staff (if any)

Line Operating Bureaus

A B C D

District Director

District Office Operating Divisions

A B C D

In this pattern, as in Chart K, the department has a single field office for each geographical area, and coordination in that office is obtained through a district director. The several district directors, however, and the chiefs of headquarters operating bureaus, all report to the deputy department head, who is the coordinating focus of the agency. Headquarters bureaus may communicate on technical matters (see broken lines in the chart) directly with their field office counterparts. In spite of the dual supervision involved, this is probably the most satisfactory arrangement for a large department with multiple functions and dynamic programs.



Communications - Administrative

The Problem:

To obtain an adequate flow of information, directions, guides and reports upward, downward and across the departments and agencies, and from them to the public they deal with, so that all concerned will know both the general goals and the specific methods and requirements of doing the State's business.

Findings:

- (1) Central management office instructions to the departments of State government tend to be informal ad hoc and inadequate, where they exist at all.
- (2) Departmental manuals of operating policies, instructions, and information for the guidance of employees are the exception, rather than the rule in Connecticut State government.
- (3) Official reporting by State departments and State institutions to the Governor, required annually by an old statute, has lately been revived since a Legislative Council report on the subject in November, 1944, and now provides the only one-volume source of information about the activities of the State government. But this Digest of Connecticut Administrative Reports covers only about two-thirds of the agencies actually in existence, and is unreliable in various details.
- (4) Several departments publish in separate pamphlet form the portions of the general statutes relating to their work, but ordinarily without commentary or explanations.
- (5) The departmental regulations, though a step in the right direction, in clarifying and detailing the requirements of statutes, do not adequately inform the public how to do business with the departments.
- (6) The Law Journal, though expanded in recent years, serves the need of lawyers only, and does not carry all departmental regulations.
- (7) Employee publications, or "house organs", issued in some departments and ranging from simple mimeograph releases to monthly printed publications running up to 50 pages, are helpful informational media as far as they go.

- (8) Informational pamphlets and materials for the public are underdeveloped.
- (9) There is no effective information center in the State government either in the Capitol or in the State Office Building. People float all over the buildings trying to find the proper bureau or division to handle their problems. A boy, obviously undequipped to help them, sits reading or working crossword puzzles at a desk marked "Information", just inside the main entrance of the State Office Building.
- (10) There is no description of the State government arranged on a functional basis except the volume "Services of the State of Connecticut", which in all but printing format, leaves much to be desired. It contains the nearest approach to an official organization chart of the State government, which, it must be said, is not very near.

Proposals:

- (1) From the standpoint of central management, there should be a systematic method and standard medium for the issuance of instructions to the departments from the central managerial offices, as an essential tool in the successful working of a large organization.
- (2) Central instructions and manuals should pay much more attention to matters affecting employee morale -- employee rights, duties, privileges, responsibilities and participation in the public service.
- (3) A central information facility for the public, adequate to help inquirers, should be established.
- (4) The purpose and function of the administrative reports should be reviewed; the volume should be notmerely a compilation of departmental puffs.
- (5) From the standpoint of departmental management, much more systematic, current and comprehensive manuals for employees are needed; and to that end the responsibility for the preparation and maintenance should be fixed on some one person in the management staff of each agency.
- (6) Departmental "house organs" should convey more official communications, rather than merely chatter and personnel notes, and should be used consciously as a tool of management by program officials as well as housekeepers.

- (7) Printed materials about the State government as a whole (Register, Services, telephone directory, Administrative Reports, etc.) should be centrally reviewed to make an integrated series.
- (8) The role of the State Editor should be reviewed and clarified as either:

- (a) Responsible for all publications of government-wide concern, executive, legislative and judicial,

or

- (b) Responsible only for judicial, and perhaps legislative publications; in this case, administrative and executive publications should be centralized in the Office of Business Operations already proposed.

#### Administrative Reorganization

##### The Problem:

To keep the machinery of government appropriately organized for its tasks, as time and circumstances ~~warrant~~ change.

##### Discussion:

It is now some 35 years since governments in the United States -- the Federal government, some states, many cities and a few counties -- have been making serious and conscious efforts to reorganize their administrative structures in the interests of greater efficiency and responsibility. If any single lesson from this experience is clear, it is that ad hoc reorganization commissions, such as the Connecticut Commission on State Government organization, have at best a limited role in the process. In making their surveys they can take a broad view of the whole administration. They can enlist briefly the services of distinguished specialists. They can devote concentrated attention to the subject. And in making their reports and recommendations, they have distinct advantages also. They can dramatize the need for changes in the public eye. They can take a comprehensive, long-run approach instead of doing a piecemeal tinkering job. They can draw on the prestige that attaches to informed, impartial conclusions. They can emphasize enduring institutions, and forces and minimize the influence of transient personalities. In a word, they can plan soundly and well.



But reorganization is more than planning. It requires a sustained mobilization of political support, and a sustained day-to-day follow-through in the adoption and application of general plans to a host of details. On both these scores, the ad hoc commission is weak. Moreover, the impetus necessary to the creation of such a commission is not generated more than once in a decade or two. Meanwhile, changes occur that ought to be reflected in government organization, and stresses accumulate that become more difficult to handle as time passes. Within the framework of a broadly sound scheme of organization, therefore, reorganization, at least as to relatively minor matters, is itself a continuing administrative process. It ought to be regularly provided for.

The effective and appropriate centers for continuing concern, study and recommendations regarding the improvement of administrative organization and methods, are, first of all, in the managerial staffs of the several departments, for internal departmental reorganizations, and second, in the Governor's policy and budget staffs. There, plans can be worked out and changes coordinated, which if approved and carried out, can be given sustained administration support; in that way the necessity for periodic major upheavals is lessened.

The legislature, however, has a legitimate interest in the organization of the executive branch, and historically has insisted on being consulted before any action is taken. Yet experience is conclusive that if reorganizations must wait on legislative initiative, or if positive action by the legislature is a prerequisite, the operations of special interest lobbies will ordinarily produce a stalemate. The reconciliation of these difficulties which has been worked out in the Federal government, with varying modifications in the Reorganization Acts of 1939, 1945, and 1949, seems applicable in Connecticut too. Let the Governor, when he deems a change is needed in the executive organization presently prescribed by law, submit to the legislature a reorganization plan, drafted to accomplish the changes. Let the Legislature consider that plan for a specified period, say 30 to 60 days. If at the end of that period, the legislature has not passed a resolution disapproving the plan, then the plan automatically takes effect.

#### Proposals:

1. That each department head be required, in connection with his budget request, to file a statement of his opinion regarding the adequacy of his department's organizational structure for its duties, and to make proposals for changes he deems advisable that are not already within his authority to make.



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Proposals: (cont.)

2. That the Governor be advised to designate a member of his staff to work continuously with the central budget authorities and designated members of the staffs of the several departments, toward the improvement of the administrative organization of the State government.
3. That the Governor be empowered, whenever the legislature is in session, to submit a reorganization plan to the General Assembly, which shall have the force and effect of law at the close of that session, provided that the General Assembly has had at least \_\_\_\_\_ days to consider the plan, and has not within that period adopted a resolution disapproving it.

## PART II

### COMMUNICATION FACILITIES AND RECORDS MANAGEMENT

The problems of communication facilities and of records management in the State government are significant chiefly as illustrations of many broader management problems of the State and they give some indication of the kind of attention given to business-like management and of the efficiency with which the business affairs of the State government are being operated. This report points to the lack of any central managerial leadership in the State administration.

#### A. COMMUNICATION FACILITIES

##### The Problem:

To secure intelligent management in the use of modern mechanical facilities for communication, so that a proper balance is maintained between the need for quick communications in the despatch of State business, on the one hand, and the extravagance of paying for services not needed or used, or of indulging in expensive playthings, or diverting facilities to the personal use of employees, on the other hand.

##### Findings:

###### Radio -

Only the State Police and the Park and Forest Commission appear to have radio communication systems, and these are interconnected. Instantaneous contacts between headquarters and cruising patrols help the police in apprehending law violators, controlling highway traffic congestions and reaching the scenes of accidents promptly. The Park and Forest authorities attribute their success in reducing the number and costliness of fires primarily to improved communications. Their Administrative Director has a radio connection in his office and in his home, and hears every message that goes over the system.

###### Teletype and Telegram -

The State Police and the Department of Motor Vehicles have interconnected teletype systems for quick messages where a written record or a greater degree of accuracy or security is required. The other departments do not have access to these facilities and the operators of the system say that they could not handle additional outside business with present installations.

There are no central controls over telegrams. Each department makes its own pick-up and delivery arrangements with Western Union, and is billed by the Comptroller's office for the charges. The total appears to be negligible in comparison with the telephone bills.

Telephone Facilities -

The Controls over installations of telephone equipment -- as distinguished from the use of official phones -- in Hartford are centralized in one official in the Comptroller's office and are exercised with eye toward thrift. Apart from the central switchboard, there are about 80 listings. Including those served from the switchboard, about 1,100 instruments are so controlled. Two other switchboards exist in Hartford in addition to the central board; these are for the State Library and for the State Police. Thrift may occasionally be carried to the point of parsimony in the restrictions on wiring plans, which sometimes require secretaries to leave their desks in order to answer the phone. The total annual fixed charges for phone installations in Hartford approximate \$100,000.

Outside Hartford, there is no central control of telephone installations, and the state institutions have complete autonomy in this regard. Each state office outside Hartford that has a telephone is billed separately for both the equipment and the long distance calls. Bills are paid by the department concerned through its regular voucher procedure and are not under any review or control by the official handling telephone installations in Hartford. As far as we can learn, there is not only no control of institutional phone facilities, but also no review nor standards for their use.

There is no formal contract with the telephone company, such as most large users are accustomed to. Equipment, rentals and service rates appear to be the same as those charged the general public; however, the official who approves these payments was not familiar enough with equipment or rates to discuss them with our investigator, and the data on invoices are inadequate for checking. There are no data at all on the monthly labor charge of \$2300 for operation of the switchboard.

The telephone company submits separate invoices for the following:

- a. Rental of equipment and service charges;
- b. Long distance toll service;
- c. Operator service for switchboard.

Equipment rental and service charges shown in the July, 1949, invoice include:

- a. Rental at rates specified in the current list for all of the equipment in use. \$4,044.20
- b. Service charges (inside moves, removals and new installations and changes in present equipment). \$ 293.78

No charges for moves, installations, etc., are honored unless they have been previously authorized by one individual in the Comptroller's office. An official wanting service submits an "application for telephone service" on which he shows whether he wants an instrument moved, change in set-up, new instrument, etc. There is a space on the form to show estimated cost, but none of those examined (all supporting the July bill) had any estimates on them. If the Comptroller's office approves the application, it then constitutes authority to the telephone company to perform the service. The standard charge for inside moves is \$2.00. However, the labor and charge material required for the service is charged in addition. Consequently, the charge for an inside move is always an unknown factor. The range was from \$3.00 to \$21.00.

The telephone repairman does not make out a job ticket for the State for each job, so the Comptroller's office cannot know what the charges will be until it gets the monthly bill. This rather lets the telephone repair man "write his own ticket" without any way for the Comptroller to check the actual amount of time spent on each job.

Separate billings are made for the other switchboards, the Comptroller's office handling them like an ordinary voucher from a department. The billing for offices outside Hartford is handled also as a regular invoice from a department.

#### Telephone - Long Distance -

In contrast with instrument installations, the use of phones, once installed, is subject to no effective controls at all, either central or departmental, except in the Highway Department. This is important on long distance calls, and leaves the system open to grave abuse. The telephone company operates the switchboard and bills all long distance charges to the Comptroller; for July, 1949, these totalled about 10,000 calls. One girl in his office is employed full-time in sorting the charge slips and typing monthly departmental lists. This is an expensive



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way of allocating the charges and a futile gesture towards control, since no effort is made to check unauthorized calls and no case is known where a refund for a private call has been collected. There is nothing to prevent employees or outsiders from making private toll calls from state phones, and there is circumstantial evidence that this happens, particularly during legislative sessions.

The Highway Department routes all long distance calls (on which it relies heavily in the conduct of its business) through one girl, but does not otherwise monitor the calls.

In an analysis of the long distance calls made over the central board for a two-week period in July, 1949 -- presumably a "light period" -- it was found that approximately one-fifth of the total charges were for calls made to New Haven. In an analysis of the three departments spending most on long distance calls, it was found that one-third of their calls were to New Haven. A comparison of the toll charges with the cost of a leased wire leaves no question that substantial savings could be made by this change alone. Our analysis also indicates that the same would be true for at least three other cities.

#### Proposals:

A central managerial agency, such as the proposed Office of Business Operations, rather than a fiscal officer, should have control over the installation of communications facilities, and should work with the departments on better and controlled utilization; this should pay off in real money.

The same agency should look into the possibilities of more joint use of facilities.

The agency should study further applications of radio and teletype. Other departments are likely to press for those facilities, and duplication and costly systems may result unless there has been intelligent central study and planning.

A careful study of the use of leased wires to cities in Connecticut where there are concentrations of local state offices and need for a great deal of telephone communication. Leased lines once installed must be watched from the standpoint of traffic.

Based on this and the Fiscal and Purchasing survey unit reports and proposals, some more formal contract and billing arrangements should be undertaken with the Telephone Company in order that an adequate audit may be made of the services received.

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B. RECORDS MANAGEMENT

The Problem:

To provide for the orderly selection of records of State government of permanent and of temporary value; to secure economical and accessible storage for the latter; and to clear the congestion of office and storage space by destroying the great mass of valueless records. But most of all, to get managerial attention focussed on the existence of a records problem.

Findings:

The indiscriminate accumulation of paper records by the departments and agencies of State government is going on apace, fed by all the processes of administration and swelled by all the mechanical devices of the office-machine industry. There is complete constipation at the end of this flow of paper. The sub-basement of the State Office Building is filled with hundreds of expensive file cabinets full of "dead files". File cabinets line the halls of the upper floors of the Capitol. File cabinets of old tax records stored in the halls of the State Library have taken up the last space there and brought to a halt the Library's traditional program of bringing into its archives the files of old town records.

The State departments show no consciousness of a records problem. Left to themselves, they will keep all the records they create, indefinitely. Only the Highway Department appears to have taken any important and deliberate step, which was to rent the old Opera House at East Haddam and use it as a dumping ground for old files. There are no state officials working on records management.

Valuable office space and expensive filing equipment is being occupied by non-current records at a time when the State is renting quarters for its agencies and buying new filing equipment.

The State Librarian and the Examiner of Public Records in his office are primarily concerned with the preservation of town records, and are archivists rather than records managers.

There is no present statutory mandate for records management, or for the destruction of papers no longer needed, but only a requirement that the consent of the Attorney General be obtained before records are destroyed.

A tiny fraction, probably no more than 5% of all paper records created are worth permanent preservation. A larger fraction usually must be kept for longer periods for occasional reference.

Although some microfilming has been started, in at least one office, its primary use is for producing official copies of documents. It is doubtful if this use alone is an economical one. Microfilming of records which are then destroyed can in appropriate situations produce large savings of expensive storage and handling.

A warehouse-type building, with tall steel stack sections and work space, where non-current records of all departments can be assembled, sorted and processed for present or scheduled future preservation or destruction, as circumstances warrant, while permitting occasional reference to them meanwhile, permits important economies of office space and clerical time.

The aims and techniques of a modern records management program are well known in other jurisdictions and in larger business corporations, and can be easily adapted to Connecticut needs if someone has authority to do so and will put his mind on it.

Although there is some recognition here and there among State agencies of the problems of records accumulation and the resulting space problem, and also some occasional concern for preservation of records for historical purposes, there was no indication of any concept of a records management program among any state officials; the prevailing attitude toward records is one of inertia and indifference.

#### A Records Management Program:

The records of an agency go through three stages: first, the active period of accumulation and use when the materials have to be in or near the offices where they are used; second, the inactive or non-current stage when reference to the records is so infrequent that they can and should be segregated and withdrawn from current file-room; and third, the disposal period when the records of enduring value are placed in archival storage and the rest of them are destroyed. The records management program is concerned with all three stages of the life of the records. The vagaries of wind, weather and the erosion of time are no substitutes for an intelligent management program in coping with the accumulations of paper that present-day office methods build up.

Records management activity should be concentrated at two levels in the State government, the department or agency level and the central or state-wide level. The former should naturally be concerned chiefly with the first stage of the records problem (current active records management), drawing on a central state records staff for technical advice and assistance. A central records staff should be concerned with the whole records management system, but with operating responsibility chiefly for the second and third stages of the records.

A program for non-current records would involve the operation of a records depository, which is open storage (warehouse) type of space for housing and servicing these records. The attached chart (page 29) prepared for the Hoover Commission shows in principle how a records center saves money.



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The program of a central records staff would involve:

- a. Assistance to departments and agencies on organization and maintenance of current record material (systems of arrangement, classification, and indexing.)
- b. Setting standards for the appraisal and evaluation of record materials for the purpose of disposition. This means classifying and distinguishing records as (1) use-~~ful~~ less material; (2) material that will become useless after a given period of time; and (3) records of enduring value.
- c. Periodic retirement of inactive records from current files and transfer to a records depository.
- d. Organization and maintenance of non-current records in a depository, and the necessary processing for the proper disposition, in accord with standards and time schedules.
- e. A reference service for occasional access to non-current records in the depository and for the archival records.

Proposals:

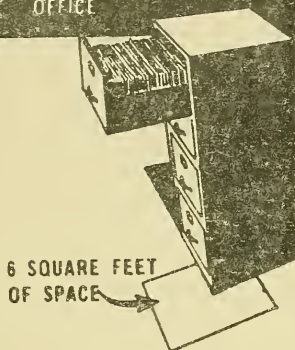
The Commission should recommend to the General Assembly the passage of a basic Records Act providing for:

- a. A mandate for the retirement of non-current records, the classification and segregation of those with enduring value, and the ultimate disposal of the rest.
- b. The establishment of a State Records Office, coordinated with, but not a part of, the State Library, to take custody and maintain or dispose of all non-current records from the several departments and agencies. This office should be a part of the proposed Business Operations office, a unit in the management team.
- c. The designation of a Records Officer in each department or agency, to ~~work~~ work with the State Records Office.
- d. Authorization for a State Records Building, of warehouse-type construction, for the storage of non-current records that cannot be immediately destroyed, and with space and facilities for processing such records and for their study or consultation by officials, scholars and other authorized persons as occasion may require.



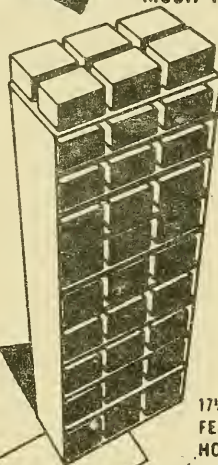
## HOW A RECORDS CENTER SAVES MONEY

CONTENTS OF  
 FILE CABINET IN  
 OFFICE



TRANSFERRED TO  
 RECORDS CENTER

OCCUPIES  $\frac{1}{10}$  AS  
 MUCH FLOOR SPACE



1 File Cabinet @ \$50.00	
(Amortized 10 yrs)	\$5.00
6 sq. ft. of Space @ \$2.50 per sq. ft.	\$15.00
Overhead and Maintenance	
for 6 sq. ft. @ \$1.50 per sq. ft.	\$9.00
<b>TOTAL COST</b>	
<b>\$29.00</b>	
<b>IN OFFICE SPACE</b>	

### SAVED \$26.85 YEARLY

Every time the contents of a File  
 Cabinet are transferred to a  
 RECORDS CENTER

1/10 Steel Stack Section @ \$32.00 = \$3.20	
(Amortized 10 yrs)	\$0.32
6 Cardboard Cartons @ \$0.15 = \$0.90	
(Amortized 10 yrs)	\$0.09
1/10 of 17.5 sq. ft. of Space @ \$0.50 per sq. ft.	\$0.87
Overhead and Maintenance	
for 1/10 of 17.5 sq. ft. @ \$0.50 per sq. ft.	\$0.87
<b>TOTAL COST \$2.15</b>	
<b>IN RECORDS CENTER</b>	



















